

04-02-04



PATENT  
Attorney Docket No. 1948/US/3  
Express Mail Label No. EV423771003US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

**John R. KLUG**

Serial No. 10/673,073

Filed: **September 27, 2003**

For: **METHOD AND APPARATUS FOR  
IDENTIFYING, MANAGING, AND  
CONTROLLING COMMUNICATIONS**

Examiner: **Not Known**

Group Art Unit: **2157**

Confirmation No.: **9290**

**CERTIFICATE OF MAILING BY EXPRESS MAIL**


Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The undersigned hereby certifies that the following documents:

1. Supplemental Information Disclosure Statement Under 37 C.F.R. §§ 1.97(b)(3);
2. Form PTO-1449 with copies of 15 cited references;
3. Certificate of Mailing by Express Mail; and
4. Return Card,

relating to the above application, were deposited as "Express Mail," Mailing Label No. EV423771003US with the United States Postal Service, addressed to Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 31 day of March, 2004.

  
\_\_\_\_\_  
Mailer  
Dorsey & Whitney LLP



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**INFORMATION DISCLOSURE STATEMENT  
Under 37 C.F.R. §§ 1.97(b)(3)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

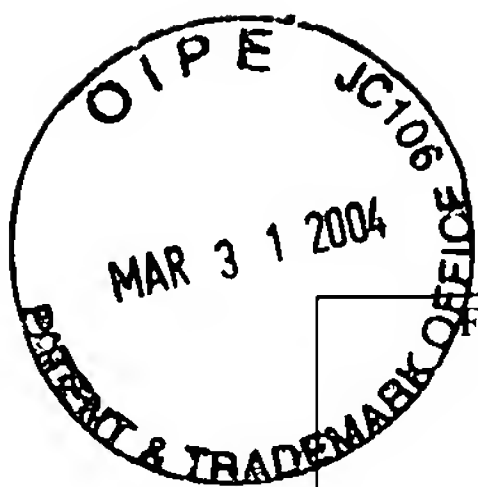
Pursuant to 37 C.F.R. §§ 1.97, the Examiner may wish to consider the references listed on the attached Form PTO-1449. In submitting these references for the Examiner's consideration, no representation is made or implied that the references are or are not material to the examination of the application. The Examiner is encouraged to make his or her own determination of materiality.

Copies of the 15 cited documents are provided herewith.

This Supplemental Information Disclosure Statement is being filed pursuant to 37 C.F.R. § 1.97(b)(3) before the mailing of a first Office action. Thus, no petition fee is required. However, should any fees be due, please charge Deposit Account No. 04-1415 accordingly.

Signed at Denver, Colorado, this 30<sup>TH</sup> day of March, 2004.

  
\_\_\_\_\_  
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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>1948/US/3</b>	SERIAL NO. <b>10/673,073</b>
	APPLICANT: <b>John R. KLUG</b>	CONFIRMATION NO.: <b>9290</b>
	FILING DATE <b>September 27, 2003</b>	GROUP ART UNIT: <b>2157</b>

Sheet 1 of 1

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1.	5,930,479	07/27/1999	Hall	395	200.68	
	2.	5,999,967	12/07/1999	Sundsted	709	206	
	3.	6,266,692 B1	07/24/2001	Greenstein	709	206	
	4.	6,330,590 B1	12/11/2001	Cotten	709	206	
	5.	6,421,709 B1	07/16/2002	McCormick et al.	709	206	

EXAMINER INITIAL		PUBLICATION NUMBER	PUBLICATION DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6.	US 2001/0023432 A1	09/20/2001	Council et al. 09/783,340	709	206	02/14/2001
	7.	US 2002/0016824 A1	02/07/2002	Leeds 09/086,345	709	207	05/29/1998
	8.	US 2002/0052855 A1	05/02/2002	Landesmann 09/984,884	705	400	10/31/2001
	9.	US 2002/0059385 A1	05/16/2002	Lin 09/915,927	709	206	07/26/2001
	10.	US 2002/0087641 A1	07/04/2002	Levosky 09/751,989	709	206	12/29/2000

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	11.	Author Unknown, "Stopping Spam", <i>The Economist</i> , April 26, 2003.
	12.	Author Unknown, "Viruses Are Riding On Spam, MessageLab Says", <i>InternetWeek.com</i> , August 1, 2003.
	13.	Sullivan, Andy, "House Could Vote Soon on Senate Anti-Spam Bill", <i>Yahoo! News</i> , October 30, 2003.
	14.	Swartz, Jon, "Spam fighters win battles, but the war rages on", <i>USA Today</i> , August 11, 2003.
	15.	Vara, Vauhini, "Companies work to cut spam e-mail", <i>The Denver Post</i> , July 22, 2002.
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.